

Policy Number: 005

Effective Date: February 2, 2009

TITLE: Presentation of Research Results

1.0 PURPOSE

The policy establishes procedures, assigns responsibilities, and specifies authority for ensuring that the contributions of the Department of Veterans Affairs (VA) to research are appropriately acknowledged and publicly disclosed.

2.0 REVISION HISTORY

Date	Revision #	Change	Reference Section(s)
January 21, 2009	1.0	New policy/procedure	

3.0 SCOPE

This policy applies to all research results where either direct or indirect support for the research emanated from VA, either in the form of research funding, or resources (e.g., facilities or patients), or as a result of the investigator's full-time, part-time, or without compensation (WOC) appointment. The policies herein extend to all forms of research results, including publications in a scientific journal, as well as other activities resulting from the research, such as: presentations involving a national venue or the media; media interviews; and professional activities that involve a national venue or formal recognition, including awards (honors), committee or organizational appointments, and editorial board appointments. **NOTE:** *This policy is not applicable to research that was conducted prior to an investigator being appointed as a VA investigator if all aspects of the research and the development of the publication or presentation occurred prior to the VA appointment.*

4.0 POLICY

The Veterans Health Administration (VHA) expects its contributions to medical and scientific research to receive due credit and places the burden of that responsibility on its research investigators. As such, it is VAPHS policy that all publications, presentations, media interviews, and professional activities pertaining to research conducted at, or under the auspices of the VA Pittsburgh Healthcare System acknowledge and publicly disclose VA support and affiliation, protect the privacy of patients, assure that the welfare of human and animal subjects was protected, and that the appropriate Institutional Review Board or Institutional Animal Care and Use Committee approval was obtained for all research involving human and animal subjects (VHA Handbook 1200.19).

5.0 RESPONSIBILITIES

- A. Associate Chief of Staff for Research and Development (ACOS/R&D)
 - 1. The ACOS/R&D is responsible for ensuring the overall implementation of this policy.
- B. Administrative Officer for the ACOS/R&D
 - 1. Reviews all submissions made to the Research Office with regard to this policy and correlates the research with a VAPHS approval.
 - 2. Ensures that all reviews are completed in a timely fashion.
- C. Investigator
 - 1. All investigators must initiate and document references to VA where either direct or indirect support for the research emanated from VA, either in the form of research funding, resources (e.g., facilities or patients), or as a result of the investigator's full-time, part-time, or without compensation (WOC) employment status.

2. Additionally, the investigator must:

- a. Acknowledge VA support and/or employment in all publications, presentations, media interviews, or professional activity where research results are being publicized, presented, recognized or discussed.
- b. Submit all draft presentations or publications to the AO/ACOS, R&D. Specifically, the following information must be submitted via electronic mail to Nicholas Squeglia, AO/ACOS/R&D at Nicholas.Squeglia@va.gov. The message must be drafted using the following format:
 1. The "subject" line of the email, must state the last name of the Principal Investigator, followed by "/Pre-submission Research Office Manuscript Review." For example, Smith/Pre-submission Research Office Manuscript.
 2. The "Coversheet for Pre-Submission Publication Review" must also be completed and attached to the email. This form may be accessed on the VAPHS Research Website (<http://www.vaphs.research.med.va.gov>) under the "Forms" tab.
 3. A copy of the draft presentation or publication should also be attached.

Note: All manuscripts, book chapters, etc. must be forwarded to the AO/ACOS/R&D prior to submission to the journal, publisher, etc. Abstracts, however, may be forwarded after submission, but must be done so in a timely fashion.

- c. Inform, either directly or through proxy, the VAPHS Research Office, at least 8 weeks (or as soon as possible), prior to the expected publication or presentation where research results are being publicized, presented, recognized, or discussed. Specifically, the following information must be submitted via electronic mail to Nicholas.Squeglia@va.gov using the following format:
 1. The "subject" line of the email, must state the last name of the Principal Investigator, followed by "/Accepted Manuscript Research Office Review".
 2. The "Coversheet for Accepted Publication Review" or the "Coversheet for Accepted Presentation Review" must also be completed and attached to the email. This form may be accessed on the VAPHS Research Website (<http://www.vaphs.research.med.va.gov>) under the "Form" tab.
 3. A copy of the final presentation or publication should also be attached. Redacted versions of manuscripts or presentations will not be accepted. The Research Office will respect the embargo dates for all journals and will not disseminate the notification beyond the Research and Development Committee until the embargo period has passed.
- d. Inform, either directly or through proxy, the VAPHS Research Office, at least 8 weeks prior (or as soon as possible), prior to the expected media interview or professional activity where research results are being publicized, presented, recognized, or discussed. Specifically the following information must be submitted via electronic mail to Nicholas.Squeglia@va.gov (Note: VAPHS Public Affairs must also be copied on the email: David.Cowgill@va.gov):
 1. The "subject" line of the email, must state the last name of the Principal Investigator, followed by "/Media Interview/Professional Activity".
 2. The text of the email must include the full name of the principal investigator, the event at which the results are being publicized, presented, recognized, or discussed.
 3. The date of the event
 4. The research project title and VAPHS study number correlating to the event.
 5. In cases of media interviews, a copy of the document submitted to the news media requesting VA recognition must also be attached (See Section 6.C.2.).

6.0 PROCEDURES

A. Acknowledgment of VA Research Support. All publications and presentations of VA research results must contain the following (or equivalent) acknowledgement:

1. "This material is based upon work supported (or supported in part) by the Department of Veterans Affairs, Veterans Health Administration, Office of Research and Development" (add as applicable Biomedical Laboratory Research and Development, Clinical Sciences Research and Development including the Cooperative Studies Program, Rehabilitation Research and Development Service, and Health Services Research and Development).
2. If VA provided no direct research funding, but the research involved the use of other VA resources (e.g., facilities or patients), the publications, or presentations must contain a similar acknowledgment. For example, "This material is the result of work supported with resources and the use of facilities at the (name and location of the VA medical center)."

B. Acknowledgement of VA Employment. Authors of clinical and research manuscripts, abstracts, books, book chapters, and presentations must acknowledge their employment using the following format: "VA Title, VA Service, Department of Veterans Affairs Medical Center, City, and State."

1. When the author also holds a faculty appointment, the academic title and school also may be acknowledged.
2. When the Principal Investigator (PI) has a 5/8ths or more VA appointment, VA must be named first, regardless whether VA is the primary source of funding or where the funds are administered.
3. Authors or presenters of research results are required to list VA employment first if any of the following conditions apply:
 - a. Work was funded primarily from VA resources (50 percent or more), either directly or indirectly;
 - b. The research was conducted primarily in VA facilities; or
 - c. The first author was a junior scientist (e.g., resident, fellow trainee) whose salary may not have been provided by VA, but who primarily used VA funding or facilities, or whose mentor or supervisor was primarily employed or funded by VA.

C. VA Acknowledgement in Media Reports. Investigators with VA salaries or funding support must, when presenting their work or discussing it with the news media, make a serious and good-faith effort to obtain appropriate recognition for VA. A serious and good-faith effort requires:

1. Securing a written agreement, or verbal agreement when a written agreement is not possible, that VA will be cited in news reports before participating in a media interview; or
2. Providing news media, prior to interviews, with a document on VA letterhead that:
 - a. Contains the investigator's name, VA title, and VA medical center;
 - b. Explains the importance to VA of citing the investigator's VA employment in any resulting feature; and
 - c. Expresses a preference that the investigator's VA title be used when media time or space limitations permit the use of only one professional title.

Note: The media's failure to acknowledge VA support despite an investigator's good-faith effort to comply does not jeopardize the investigator's funding.

D. VA Acknowledgement During Other Professional Activities. VA support and employment, as appropriate, must be acknowledged during professional activities where research results are being

discussed or recognized. Acknowledgment may be verbal, e.g., in receipt of an award, or written, e.g., as in the acceptance of an appointment to a board, in accordance with the nature of the professional activity.

- E. Disclaimer Requirement.** Publications or presentations must include a disclaimer stating that the contents do not represent the views of the Department of Veterans Affairs or the United States Government.
- F. Publications by Contractors.** The publication of research results by firms providing contracted services to VA are governed by the terms of the contract. The contract terms must be consistent with the provisions outlined in this policy and VHA Handbook 1200.19 with respect to review and acknowledgement of VA support.

G. Failure to Acknowledge VA Support or Employment.

1. Failure to acknowledge VA support or employment, as stipulated in this policy, may, at the discretion of the Chief Research and Development Officer (CRADO), and the research service Director (i.e., Biomedical Laboratory Research and Development (BLR&D), Clinical Science Research and Development (CSR&D), RR&D, or HSR&D), result in discontinuation of current VA R&D funding and/or ineligibility to receive future R&D funding for up to 5 years. In extreme circumstances, it may result in the revocation of the privilege to conduct research in VA.

2. The Research Compliance Officer will conduct an annual quality assurance audit of publications of VAPHS employees for compliance with this policy. Employees publishing research results that fail to acknowledge VA support or employment, or if the research is found to be lacking appropriate Institutional Review Board, Institutional Animal Care and Use Committee and/or Research and Development Committee, if applicable, approval(s) will be considered non-compliant with VA, VHA, and VAPHS policy. Such non-compliance will be reviewed by the VAPHS Research Compliance Committee and may be reportable to regulatory agencies, scientific journals, etc. In addition such serious non-compliance may result in an alteration to or revocation of privileges to conduct research at VAPHS.

8.0 REFERENCES

- VHA Handbook 1200.19, Presentation of Research Results